

# YEAR 2004 HISTORIC PRESERVATION FUND

## Grant Pre-Application

### SURVEY /NATIONAL REGISTER PROJECTS

#### Introduction:

The National Historic Preservation Act of 1966 authorizes a program of federal matching grants, known as the Historic Preservation Fund (HPF), to assist the various states in carrying out historic preservation activities. The program is sponsored by the Department of the Interior, National Park Service (NPS), and in Missouri, is administered through the State Historic Preservation Office (SHPO) of the Missouri Department of Natural Resources. In fiscal year 2004, the State Historic Preservation Office expects to award approximately \$70,000 to be used for projects that relate directly to the identification, evaluation or protection of historical, architectural, or archaeological resources. The selection process for these limited funds will be extremely competitive. Only Certified Local Governments will be eligible to submit grant applications.

Under changes made to the Act in 1980, each state is required to earmark a minimum of ten percent (10%) of their Historic Preservation Fund monies for exclusive use by Certified Local Governments (CLG's).

Please note that obligations of the State shall cease immediately if the Missouri Legislature, the President, or Congress fail to appropriate or otherwise make available funds for selected projects.

#### How to Apply:

Please submit two copies of the completed pre-application to our office. **CLG grant applicants are required to submit a pre-application in order to qualify to submit a FY'2004 HPF grant application.**

A complete pre-application is an application that is signed and dated with all blanks filled in completely and correctly. Applicants may use the actual pre-application form supplied by the SHPO or a form produced by the applicant so long as it presents all of the required information in the same manner and sequence.

**The pre-application deadline is 5:00 p.m. FRIDAY, AUGUST 15, 2003.** Pre-applications postmarked or delivered after that time WILL NOT BE CONSIDERED.

Mailing address:

Missouri Department of Natural Resources  
State Historic Preservation Office  
P.O. Box 176  
Jefferson City, Missouri 65102

Street Address:

Missouri Department of Natural Resources  
State Historic Preservation Office  
100 East High Street  
Jefferson City, Missouri 65101

#### Eligible Applicants:

For fiscal year 2004, **only Certified Local Governments** may apply for grants.

#### Project Eligibility:

Only projects that relate directly to the identification, evaluation, or protection of historical, architectural, or archaeological resources are eligible for this cycle of Historic Preservation Fund grants. Eligible activities must pertain to the accomplishment of the State Historic Preservation Officer's responsibilities as outlined in the National Historic Preservation Act of 1966, as amended. Eligible activities must be carried out in accordance with the Secretary of the Interior's "Standards for Archeology and Historic Preservation" and must meet the requirements of the National Register Programs Guideline (NPS-49).

**Generally grant awards will not exceed \$25,000.00.**

Grant funds for FY' 2004 Historic Preservation Fund will be severely limited and highly competitive. In all likelihood only one or two projects will be funded in each of the categories listed below. Applicants may submit applications for projects related to the following activities:

**Survey:** Activity directly pertinent to the identification and evaluation of historical, architectural, and archaeological resources. Surveys should be designed to lead to nominations to the National Register of all eligible properties identified. Grant-assisted survey must produce data that is compatible with and can be readily integrated into state comprehensive planning activities.

**National Register:** Activity directly pertinent to the evaluation of identified historical, architectural, or archaeological resources for their potential eligibility for listing in the National Register as single sites or districts, and to the preparation of documentation required to secure such registration.

**Predevelopment:** The historical, architectural and/or archeological research necessary to properly document proposed construction work on a historic structure or site performed prior to the commencement of development. Activities would include preservation plans, feasibility studies and historic structure reports.

**Planning:** Activity directly pertinent to the development, implementation, and operation of state comprehensive planning activities; the preparation of preservation plans and design review guidelines for specific locales.

**Other Program Activities:** Any activity that is eligible for grant assistance, but that does not fall within one of the above program areas, or an activity that involves multiple program areas. General outreach, technical assistance, and public education/awareness activities might be eligible under this category if they are directly related to the goals and responsibilities of the State Historic Preservation Office.

**Certified Local Government Projects:** Eligible Certified Local Government (CLG) grant applications must be directly related to identification, evaluation, designation, administration, planning, and education/awareness activities that will increase the effectiveness of local historic preservation programs administered by Certified Local Governments.

**Development projects will not be eligible for funding for FY' 2004.**

### **Special CLG Requirements:**

- In order for Certified Local Governments to qualify for a CLG grant for FY '2004, **the CLG must be current in fulfilling all documentation requirements for maintaining CLG status.** This would include submission of an annual report for Federal FY' 2002 and minutes of all preservation commission meetings held during the last fiscal year.
- In order to qualify for a CLG grant, the CLG grant **application must be signed by the verifying authority for the city** (i.e. the mayor or city administrator). The **application must also include a resolution by the preservation commission in support of the grant application.**

For additional information on these requirements, please contact Jo Ann Radetic, CLG Coordinator at (573) 522-2473.

## FY' 2004 Priorities:

In FY' 2004 the State Historic Preservation Officer (SHPO) will prioritize funding for projects which help to accomplish goals, objectives, and recommendations identified in Missouri's Statewide Preservation Plan. A copy of this plan is available on request or can be viewed at the SHPO web site: (<http://www.dnr.mo.gov/shpo/PresHorz.htm>).

### SHPO PRIORITIES:

- Projects that provide maximum benefit in terms of federal apportionment.
- Reasonable distribution of funds between urban and rural areas.
- Distribution of available funds to the maximum number of applicants possible.

## Completing the Application

An applicant may submit applications for more than one project activity during the FY' 2004 grant cycle. A separate completed grant application must be submitted for each project activity. A completed grant application will consist of the following basic items:

**Part I--Cover sheet, Project Summary, Applicant Data**

**Part II--Product Proposal**

**Part III--Project Budget**

**Part IV--Applicant Certifications (Signed by the Verifying Authority)**

As indicated in the instructions below, additional information or materials may also be required. This information should be attached to the application.

**PART I-- Cover sheet, Project Summary, Applicant Data**

### Cover Sheet

### Project Summary:

- **Property/Project Name:** Identify the property/project name.
- **Project Cost:** Enter the dollar amounts for the project costs including federal share, local share, and total project costs. These figures should correspond to figures in the Project Budget (Part IV). **Historic Preservation Fund grants are funded on a 60/40 ratio with 60% of the project cost coming from federal funds and 40% of the project cost provided by the applicant.**
- **Proposed Work Summary:** In the space provided, briefly summarize the proposed

work to be done as part of the grant. (For example: "This project will consist of an architectural survey of 150 late nineteenth and early twentieth century buildings located in the central business district of Missouri, Missouri.")

### Applicant Data:

- **Project Sponsor/Applicant:** Enter the name and address of the project sponsor/applicant. The receiving official is the person authorized to officially accept the grant (e.g., the Mayor or the City Administrator).
- **Contact Person/Project Manager:** The Contact Person/Project Manager is the individual most familiar with the application and project.
- **Legislative Contacts:** Since legislative representatives will be notified of all grant awards, the applicant must provide names of all state legislators and federal representatives for the proposed project area.

### **PART II: Product Proposal:**

- **Property/ Project Name:** Enter the name of the property/project.
- **Project Type:** Check whether the proposed project is a survey or National Register nomination.
- **Description of Project:** Provide a clear narrative summary of the proposed project. Describe the goals of the project and discuss the planned methodology used to achieve those goals. (Attach additional sheets, if needed.)

For **Survey projects**, provide an exact count of buildings, structures, objects or sites. **DO NOT ESTIMATE**. To determine the estimated number of significant or contributing properties in the area, count all properties 50 years or more in age. Eliminate properties severely altered from their historic appearance.

Describe the boundaries for the project and justify why these boundaries were chosen.

Discuss what type of properties are present in the proposed survey area, which data gaps in the Missouri cultural resource inventory the survey will address, potential historic contexts, how many properties within the proposed survey area represent the above-referenced contexts and property types, and the potential for National Register eligibility.

Survey projects should be structured so as to reach a specific and logical conclusion in a twelve-month period. Surveys phased over several years must possess a justifiable breaking point between years.

For **National Register Projects**, indicate the type of nomination proposed. Include an accurate numerical breakdown of the contributing and non-contributing resources included in the proposed nomination. For single site nominations, a photograph of the property to be nominated must be included in the proposal.

Please note that for individual properties (either single site or individual resources in a multiple property nomination), the Applicant must submit evidence that owners have been contacted regarding National Register listing and are agreeable to its listing.

- **Project Benefits:** Outline the intended benefits of the project and describe how the project will reach its intended audience.
- **Local Support/Planning Goals:** Document local support and describe how the project addresses local and state preservation goals.

### **PART III: Budget**

**Historic Preservation Fund grants are funded at a 60/40% ratio with the grant recipient responsible for providing a local match not less**

**than 40% of the total project cost.** The grant budget is used to document the anticipated costs for the project and if these costs are part of the local match or to be paid by the grant.

In developing the project budget, the applicant should anticipate and include the cost of all required project materials products listed below.

All funded **Survey** projects will be required to produce the following products:

- A research design;
- completed architectural/historic inventory survey form for each significant or contributing property in the survey area;
- at least one 5 x 7 black and white photograph of each inventoried property;
- map(s) of the survey project area; and
- an interim or final survey report.

Survey plans must be illustrated by map(s) and streetscape photographs of each proposed survey area.

All geographically based surveys must include two public informational meetings (one at the beginning and one at the end of the project). This requirement will be waived on a case by case basis only and should be considered during the development of project costs.

All funded **National Register** projects will be required to produce the following products:

- 2 original copies of all National Register of Historic Places Registration Forms;
- a U.S.G.S. map illustrating the location of the nominated properties;
- 2 sets of 8 x 10 black and white glossy photographs;
- 2 duplicate copies of district footprint maps;
- 2 sets of floor plans for single site properties and site plans, if appropriate;
- current list of property owners; and
- color slides of the nominated properties.

All historic district or geographically based multiple property nomination projects must include a public informational meeting at the beginning of the project. This requirement will be waived on a case by case basis only and should be considered during the development of project costs.

The above identified products and photograph negatives generated by architectural/historic surveys or nomination projects will become the property of the Missouri Department of Natural Resources.

For all projects within the jurisdiction of a Certified Local Government, grant recipients will be expected

to provide a copy of all products to the local historic preservation commission. The costs of additional copies of products must be paid by the grant recipient.

**1. EXPENSES:** List all budget expense items for the proposed project. Indicate the total cost in the right-hand column and the amounts of non-federal cash, non-federal in-kind and federal share for each budget item. For the purpose of the grant, if no money changes hands, the line item is not cash. If a person provides time to a project, the value of the person's time is in-kind

Allowable costs include personnel costs, (salaries and fringe benefits), travel expenses (mileage, lodging, subsistence), supplies, contractual services, salaries, equipment use, and rent. A complete list of specific allowable and unallowable costs can be found in the "Handbook of Information on Historic Preservation Grants" which is available on request from the State Historic Preservation Office.

**Personnel Costs:** List all personnel (other than contractors) and attach resumes\*. Identify hourly rate or percent of time to be spend on the product. Identify the number of work hours each person will be working on the product. (There are 173.33 hours in a work month; 2080 hours in a year. Partial work months should be rounded to nearest tenth. . The number of months must not exceed 18 months from October 2003.) Volunteer time is valued at the prevailing minimum wage unless a higher rate can be documented and is approved by the SHPO. To assist in determining and using rates, the following are standards for safe and acceptable rates for certain kinds of volunteer services:

1. <b>Non-professional volunteers:</b>	Current Minimum Wage
2. <b>Preservationists:</b>	\$ 10.00 per hour
3. <b>Bookkeepers:</b>	\$15.00 per hour
4. <b>CPAs:</b>	\$30.00 per hour
5. <b>Architects, Planners, and other preservation professionals not generally listed:</b>	\$30.00 per hour
6. <b>Full professors of architectural history, historic architecture, and fields related to archaeology:</b>	\$30.00 per hour
7. <b>Lawyers</b>	\$47.00 per hour

These rates assume that all personnel are working in their field of expertise. Under no circumstance will the actual rate of pay for professionals and non-professionals be accepted, unless it is the lowest rate in the marketplace.

**CAUTION:** Some communities desire to use volunteers in architectural/historic survey projects so as to cut costs and build community support for preservation. All survey work must be supervised by persons meeting federal 36 CFR 61 qualifications for preservation consultants. Consultants who are assisted by volunteers are ultimately responsible for all project work and are obligated to complete any work not satisfactorily completed by volunteers in a timely manner.

**Fringe Benefits:** Indicate fringe benefit rate and to which personnel the rate applies. Fringe benefit rates may only be used for employees on staff who provide a recognized service to the project. Part-time employees or contractors who receive fringe benefits that cannot be treated as a standard percentage should have such costs incorporated into their salary structure for the purpose of HPF grants (such incorporation must be notated\*\*).

**Operations:**

**Travel:** Indicate cost calculations by number of miles and rate per mile. The rate of reimbursement per mile cannot exceed 29.5 cents per mile. If mileage is a project cost, an estimate of the number of miles must be given. If out-of-state travel is a project cost, a justification must be given and an estimate of cost. If there is any in-state travel not in the project area, justification\*\* must be given with an estimate of cost (except travel that is required or demanded by the SHPO office).

**Supplies:** As a budget category, this includes both expendable and non-expendable supplies. Items normally found in this category of cost include: paper, pencils, pens, photographic paper, Xerox paper, film, folders, ledgers, notebooks, diskettes, typewriter ribbons, replacement parts, stationery, and envelopes.

**Equipment:** All equipment purchases in excess of \$300 must be noted and must have justification. Donated equipment, if used as match, must be notated\*\* justifying valuation in the form. Equipment is valued at the lowest rate per month in the local area. Applicants may be requested to produce at least two proofs of valuation. Applicants must

identify purchased or donated equipment by brand name and type for use in grant related programs.

**Reproduction:** As a budget category, this normally contains the following items of expense - photocopying, photograph reproduction, slide reproduction, and film or other video reproductions. Specific costs assigned to this category must be notated\*\*. Applicants may be required to justify cost on request. Failure to notate will eliminate all costs in this category.

**Other Costs:** As a budget category, this normally contains the following items of expense - electronic data processing costs, subscriptions, memberships, books, postage, and rent or space. All costs in this category must be notated\*\*. Applicants may be required to justify costs on request. Donated space is based on the lowest cost of square footage in a given area. Exceptions to this general rule of thumb will be given on a case-by-case basis, especially when the donor is the source of this action.

**Contractual:** List all sub-contractors (asterisk those already contracted), attach resumes\*, and note cost. These costs are associated with individuals or organizations providing cash services to the applicant which are not provided by the staff.

Contractual services must be obtained through publication of a Request for Proposals to permit open and fair competition. The applicant may select a consultant following a review of the proposal and personnel qualification, and discussions with the SHPO. Information on the procedures and guidelines for selecting a consultant is available from the SHPO.

**Indirect Cost:** Certain educational or governmental bodies may qualify to utilize an indirect rate. Only indirect costs assigned by percentage with approval from a recognized federal agency will be accepted. Attach a copy of the approved rate. Indirect costs are assigned by percentage. Indicate indirect cost percentage rate, to which personnel the rate applies, and place the value in the cash or in-kind column. For purposes of match, there is no limit on the amount of the indirect rate. For purposes of recovery, there is imposed a 10% cap. Failure to attach a rate of approval may eliminate this expense.

Total the non-federal/cash expenses, non-federal/in-kind expenses, federal expenses. The totals at the bottom of the page should correspond to the project costs indicated on page 1 of the application. (The non-federal/cash expenses, non-federal/in-kind expenses should be combined to determine the non-federal share.)

*\*All staff, contractors, and individuals donating time directly to the project must submit resumes, even if such resumes were submitted in previous grant cycles. Individual volunteers (including non-professionals), must be listed by name.*

*\*\*Whenever an applicant is directed to notate, or notate and justify, they must detail the required information on the application form or on extra sheets of paper.*

## 2. SOURCE OF LOCAL SHARE:

Provide the following information, using as many spaces as necessary, to identify all sources of the local share for each product proposal form you are submitting. Attach additional pages if necessary.

**Donor:** Identify the agency, individual, educational institution, or organization providing all or a portion of the local share.

**Source:** Identify the specific budgetary source, pool of funds, or transfer agent within the organization; in some cases the source may be the same as the donor.

**Kind:** Identify the local share as either "cash" or "in-kind". ("In-kind" contributions are non-cash donations such as space, personnel, or equipment.)

If the share is in-kind personnel, enter the number of hours, hourly rate, and total value (i.e., 40 hrs. @\$15 = \$600).

Salaries and fringe benefits for city staff participating in a grant project should be counted as cash.

If the share is in-kind space, indicate the number of months, the value per month, and total dollar amount (i.e., 12 months @\$100 = (\$1200). Both equipment and rental services valued as in-kind are inserted in the same manner as donated space. If the share is indirect cost, enter "cash".

Applicants submitting more than one application should note that cumulative non-federal share on the applications cannot exceed 100% of the individual's time or 100% of the actual cost of the services being provided as match.

**Amount:** Enter the dollar value assigned to the "kind".

3. **LOCAL SHARE GRAND TOTAL:** Add all "amounts" from #1 above and enter the total on this line. This amount must correspond to the Non-federal share shown on page 1 of the application.

**This total must be at least or greater than 40% of the total project cost.**

#### **PART IV--Applicant Certifications:**

As a potential recipient of federal grant monies, the Applicant must agree to abide by certain federal terms and condition. Fill in the first two lines with the name of the Applicant as it appears on page 1 of the application. The Applicant's Verifying Authority should read the page carefully, then sign and date it.

#### **How Grants Will Be Awarded:**

Projects will be reviewed and evaluated by the State Historic Preservation Office staff to determine how well the application addresses the selection criteria listed below. A sample of the Selection Criteria Evaluation form is available on request.

- Contribution to Missouri's statewide preservation priorities.
- Technical quality of application.

The State Historic Preservation Office will carefully review all pre-applications and make comments and recommendations to applicants by August 31, 2003, regarding technical aspects of the application and eligibility and feasibility of individual projects. Applicants may be asked to revise project proposals and budgets before submitting a final grant application. Final grant application forms and instructions will be provided, along with SHPO comments on pre-applications, to CLGs that have submitted pre-applications. Final completed grant applications must be postmarked by or delivered to the State Historic Preservation Office on or before Tuesday, September 30, 2003, by 5:00 p.m.

The State Historic Preservation Office will review all final applications and make recommendations regarding allocation of funds among individual projects. Preliminary grant recommendations will be presented to the Missouri Advisory Council on Historic Preservation at their November meeting. It is anticipated that notification as to whether a project is recommended for funding will be given to applicants in early December. If the final project application is accepted, an agreement awarding the grant will be executed.

#### **Additional Information:**

Applicants are strongly encouraged to contact the State Historic Preservation Office for assistance in defining the project scope of work and for technical assistance in completing the application. To obtain such assistance, please contact the appropriate staff member as follows:

**Budget development/eligible costs:**

Jo Ann Radetic	573-522-2473	nrradej@mail.dnr.state.mo.us
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**Survey Projects:**

Gerald Lee Gilleard	573-751-7959	nrgilll@mail.dnr.state.mo.us
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**Archaeological Survey or Nomination Projects:**

Brant Vollman	573-526-1680	nrvollb@mail.dnr.state.mo.us
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**National Register Nominations:**

Tiffany Patterson	573-751-7800	nrpattt@mail.dnr.state.mo.us
Roger Maserang	573-522-4641	nrmaser@mail.dnr.state.mo.us

**Other Projects Submitted by Certified Local Governments:**

Jo Ann Radetic	573-522-2473	nrradej@mail.dnr.state.mo.us
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A "Handbook of Information on Historic Preservation Fund Grants" is available upon request from the SHPO and provides specific technical information dealing with the following information: definitions of terms used in Historic Preservation Fund grant applications; rules for determining allowability and valuation of local matching cost share;

examples of allowable costs; examples of costs which are not allowed; and equal opportunity through Title VI. This handbook may be obtained by calling Ms. Nancy Faerber at (573) 526-5026.

### **Administration and Funding:**

All grant recipients must have a source of local funds or services sufficient to match the requested grant amount. Recipients must also be able to meet deadlines, monitor project work, and have a financial management system which meets federal audit standards.

Historic Preservation Fund matching grants are paid as reimbursements. Recipients must expend the total project cost and then may request reimbursement up to the amount of the grant award. Interim payments may be requested by the grant recipient based on interim progress reports at the discretion of the SHPO. All costs must be submitted to the SHPO at the time reimbursement is requested.

Grant recipients must meet the following special conditions:

1. Sign an agreement with the Missouri Department of Natural Resources which contains terms and conditions with which the grant recipient must comply;
2. Maintain proper financial records for audit purposes and submit documentation upon request for reimbursement;
3. Submit progress reports to the SHPO as requested; and
4. Produce an acceptable final report detailing project accomplishments.

The project period will be specified in the grant agreement. All work must be completed within the stated project period. Extensions will not be granted unless extreme extenuating circumstances prevail.

Work may not proceed until a grant agreement has been signed. Any work undertaken prior to the agreement's execution will be disqualified and ineligible for reimbursement unless there is specific written advance approval from the SHPO. Under all circumstances, no expenditures can be made prior to October 1, 2003.

#### **EQUAL OPPORTUNITY**

This program receives federal funds from the National Park Service. Regulations of the U.S. Department of the Interior strictly prohibit unlawful discrimination in departmental federally assisted programs on the basis of race, color, national origin, or disability. Any person who believes he or she has been discriminated against in any program, activity or facility operated by a recipient of Federal assistance should write to:

Director, Equal Opportunity Program  
U. S. Department of the Interior, National Park Service  
P.O. Box 37127  
Washington, D.C. 20013-7127